



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/938,944	08/24/2001	Trung M. Tran	5181-82200	2680

7590 03/08/2007
B. Noel Kivlin
Conley, Rose & Tayon, P.C.
P.O. Box 398
Austin, TX 78767-0398

EXAMINER

SHAW, PELING ANDY

ART UNIT	PAPER NUMBER
----------	--------------

2144

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	03/08/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Office Action Summary	Application No. 09/938,944	Applicant(s) TRAN, TRUNG M.	
	Examiner Peling A. Shaw	Art Unit 2144	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 11 December 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-25 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-25 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 11 December 2006 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

pas

DETAILED ACTION

Making Final/New Grounds

1. Amendment received on 12/11/2006 has been entered into record. Claims 17-25 are amended. Claims 1-25 are currently pending.
2. Claims 1, 10 and 17 were previously (04/11/2005) amended.

Priority

3. This application has no priority claim made. The filing date is 08/24/2001.

Claim Rejections - 35 USC § 103

4. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-25 rejected under 35 U.S.C. 103(a) as being unpatentable over Shandony (US 6675261 B2), hereinafter referred as Shandony, and further in view of Mangat et al. (US 6049799 A), hereinafter referred as Mangat.

- a. Shandony shows (claim 1) a method comprising: populating a directory with entries for each of a plurality of users of a multi-user computing environment, wherein each entry in the directory comprises a user ID and one or more group names, wherein each of the one or more group names corresponds to a group to which the user ID belongs, and wherein at least one of the entries in the directory comprises a first group name of the one or more group names (Fig. 1, 5, 7-12: Emp1, Org A, Org B,

- Org C, Org D, Uid, Create Group, My Groups, entity, domain; column 7, line 64-column 8, line 12: Group Manager 44 allows entities to create, delete and manage groups of users who need identical access privileges to a specific resource or set of resources. Managing and controlling privileges for a group of related people); determining a first group access control list for the first group name, wherein the first group access control list comprises the user IDs of users whose directory entries comprise the first group name (column 7, lines 64-column 8, 29: access privileges for a group of users on resources); for each data source in the multi-user computing environment which permits access by the first group name, granting access to the respective data source to the users in the first group access control list (Fig. 7-12; column 7, line 64-column 8, line 12: Group Manager 44 allows entities to create, delete and manage groups of users who need identical access privileges to a specific resource or set of resources. Managing and controlling privileges for a group of related people). Shandony does not show explicitly (claim 1) wherein the first group access control list is stored outside of the directory.
- b. Mangat shows (claim 1) wherein the first group access control list is stored outside of the directory (Fig. 4 and 5, column 2, lines 14-28: new type of directory services object that may be used to provide document management of documents accessed by users, groups of users; column 12, line 23-33: user object and group object are separate: column 15, line 10-43: user object; column 16, line 13-21: group object; user object and group object are quite different in their functions) in an analogous art for the purpose of document link management using directory services.

- c. It would have been obvious to a person of ordinary skill in the art at the time of the invention was made to modify Shandony's functions of request based caching of data store data with Mangat's function of document link management.
- d. The modification would have been obvious because one of ordinary skill in the art would have been motivated to have group access functions different from user access functions per Mangat and Shandony's teaching.
- e. Regarding claim 2, Shandony shows wherein each entry in the directory comprises a user password; and wherein the method further comprises authenticating each user ID using the associated user password (column 9, lines 10-43).
- f. Regarding claim 3, Shandony shows wherein each entry in the directory comprises zero, one, or a plurality of hostnames (Fig. 1 and 3); wherein the directory comprises a first hostname; and wherein the method further comprises: for each data source in the multi-user computing environment which permits access by the first hostname, granting access to the data source to the one or more users whose directory entries comprise the first hostname and who are seeking access from the host having the first hostname (Fig. 1, 5 and 69; column 6, lines 52-57: The Access System includes Access Server 34, Web Gate 28, and Directory Server 36. Access Server 34 provides authentication, authorization, auditing logging services. It further provides for identity profiles to be used across multiple domains and Web Servers from a single webbased authentication (sign-on); column 71, line 47-column 72, line 12: checking POST from Web Gate for access verification).

- g. Regarding claim 4, Shandony shows wherein the data source comprises a file or a directory in a file system coupled to the multi-user computing environment (Fig. 1, 3 and 8-15).
- h. Regarding claim 5, Shandony shows wherein the access comprises read access; and wherein the granting access to the data source to the users in the first group access control list comprises permitting the users in the first group access control list to read the data source (column 13, lines 25-27).
- i. Regarding claim 6, Shandony shows wherein the access comprises write access; and wherein the granting access to the data source to the users in the first group access control list comprises permitting the users in the first group access control list to write to the data source (column 13, lines 27-33).
- j. Regarding claim 7, Shandony shows wherein the access comprises execute access; and wherein the granting access to the data source to the users in the first group access control list comprises permitting the users in the first group access control list to execute the data source (column 13, lines 40-53).
- k. Regarding claim 8, Shandony shows for each data source in the multi-user computing environment which permits access by the first group name and owner but denies access to others, denying access to the data source to users who are not in the first group access control list and who are not the owner of the data source (column 7, lines 54-column 8, line 11; column 71, line 47-column 72, line 12: checking POST from Web Gate for access verification).

Art Unit: 2144

- l. Regarding claim 9, Shandony shows wherein the multi-user computing environment comprises a UNIX based operating system (column 11, lines 5-6).
- m. Claim 10-16 is of the same scope as claims 1-7 and 9. These are rejected for the same reasons as for claims 1-7 and 9.
- n. Claims 17-25 are of the same scope as claims 1-9. These are rejected for the same reasons as for claims 1-9.

Together Shandony and Mangat disclosed all limitations of claims 1-25. Claims 1-25 are rejected under 35 U.S.C. 103(a).

Response to Arguments

5. Applicant's arguments filed on 12/11/2006 have been fully considered, but they are not persuasive.

- a. Applicant alleged that Mangat does not teach or suggest an access control list stored outside of the directory. Applicant asserted that Mangat stores a membership, association lists and access rights within a directory server. Applicant has alleged a similar argument in Appeal Brief Filed dated 10/26/2005 and 5/30/2006. Examiner has responded to the argument in office actions dated 01/27/2006 and 09/08/2006. Thus item b of section 8 in the previous office action dated 09/08/2006 should be applicable to applicant's current argument. As examiner has further reviewed the previous office action dated 06/24/2005, particularly 1st paragraph on page 3, and the applied prior art, Shandony has shown (column 7, lines 64-column 8, line 29) the alleged limitation above. Examiner has further noticed that Shandony has shown a separate access server and directory server in Fig. 1.
- b. Applicant has further argued that Shandony does not teach or suggest "granting access to the data source tot the one or more users whose directory entries comprise the first hostname and who are seeking access form the host having the first hostname are recited in claim 3 without detail allegation. Examiner has reviewed the alleged limitation in claim 3 and the recited references from Shandony. Examiner feels the recited Shandony references does cover the alleged limitation of claim 3.
- c. It is the Examiner's position that Applicant has not submitted claims drawn to limitations, which define the operation and apparatus of Applicant's disclosed

invention in manner, which distinguishes over the prior art. As it is Applicant's right to claim as broadly as possible their invention, it is also the Examiner's right to interpret the claim language as broadly as possible. It is the Examiner's position that the detailed functionality that allows for Applicant's invention to overcome the prior art used in the rejection, fails to differentiate in detail how these features are unique (see item a in section 4). Shandony and Mangat has shown the general art of group based access control functions. It is clear that Applicant must be able to submit claim language to distinguish over the prior arts used in the above rejection sections that discloses distinctive features of Applicant's claimed invention. It is suggested that Applicant compare the original specification and claim language with the cited prior art used in the rejection section above to draw an amended claim set to further the prosecution.

- d. Failure for Applicant to narrow the definition/scope of the claims and supply arguments commensurate in scope with the claims implies the Applicant's intent to broaden claimed invention. Examiner interprets the claim language in a scope parallel to the Applicant in the response. Examiner reiterates the need for the Applicant to more clearly and distinctly define the claimed invention.

Conclusion

6. THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

7. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure. Refer to the enclosed PTO-892 for details.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Peling A. Shaw whose telephone number is (571) 272-7968. The examiner can normally be reached on M-F 8:00 - 4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, William C. Vaughn can be reached on (571) 272-3922. The fax phone number for the organization where this application or proceeding is assigned is (571) 273-8300.

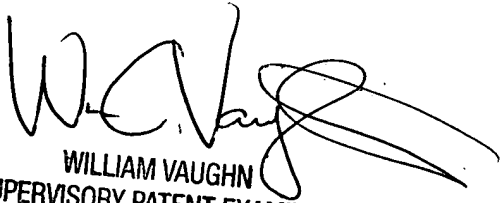
Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished

Art Unit: 2144

applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

pas

pas


WILLIAM VAUGHN
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100